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TRANSMITTAL FORM

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Total Number of Pages in This Submission

12

Application Number

09/923,035

Filing Date

August 6, 2001

First Named Inventor

John Nafeh

Art Unit

3692

Examiner Name

Elda G. Milef

Attorney Docket Number

PA3817US

ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☒

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/
Incomplete Application

☐

Reply to Missing Parts
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a
Provisional Application

☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

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Terminal Disclaimer

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Request for Refund

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CD, Number of CD(s) _____

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Landscape Table on CD

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After Allowance Communication to TC

☐

Appeal Communication to Board
of Appeals and Interferences

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Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify
below):

1) Confirmation Postcard.

Remarks

Total page number does not include confirmation postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Carr & Ferrell LLP

Cust. No. 22830

Signature

K. Brian Bathurst

Printed name

K. Brian Bathurst

Date

July 3, 2008

Reg. No.

51,442

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**IN THE UNITED STATES PATENT AND TRADEMARK
OFFICE**

APPLICANTS: John Nafeh and Kenton K. Yee
SERIAL NO.: 09/923,035
FILING DATE: August 6, 2001
TITLE: Methods and Apparatus for Formulation, Initial Public or Private
Offering, and Secondary Market Trading of Risk Management
Contracts
EXAMINER: Milef, Elda G.
ART UNIT: 3692
CONF. NO.: 8692
ATTY.DKT.NO.: PA3817US

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**AMENDMENT SUBMITTED IN CONNECTION WITH EXAMINER
INTERVIEW OF JULY 3, 2008**

Dear Examiner Milef:

Thank you for taking the time to speak with me today regarding this application.
Please find included herewith amended claims and remarks submitted per today's
interview.